



DC Commission on the Arts and Humanities

FY2012

UPSTART Program

Program Guidelines

Organizations may apply for up to \$100,000, average grant size is \$50,000

NEW DEADLINE: Friday, August 26, 2011 by 11:59 pm

Applicants may submit one UPSTART application per fiscal year

The UPSTART Program is the signature capacity building program of the DC Commission on the Arts and Humanities. UPSTART is designed to support arts organizations with intensive technical assistance through consulting and funding for core administrative systems, leadership development and operating reserves. Projects funded through UPSTART may include consulting services for information technology, communications or fundraising strategy, organizational development, executive coaching, financial management, strategic planning, and governance.

UPSTART assists established arts and humanities nonprofit organizations with significant programmatic functions that face operational and infrastructure challenges and financial limitations that prevent organizational and programmatic sustainability.

In FY 2012, there are two major changes to the UPSTART program. Currently, organizations with current budgets under \$1.5 million are eligible to apply. In addition, past recipients of UPSTART grants are eligible to reapply.

A maximum of six applicants will be selected. Of the six applicants, no more than two applicants will be past recipients of the UPSTART program grant.

The UPSTART Program has the following components:

- An organizational assessment by UPSTART program consultants;
- Development and implementation of an organizational work plan with goals and milestones to be approved by DCCA;H;
- Expenditure of funds based on meeting milestones and work plan objectives;
- Establishment or expansion of an operating reserve fund;
- Peer networking meetings;
- Preparation of interim and final work plan updates reports, and
- Preparation of a final report by completing forms 804 and 805

UPSTART Program Goals

- Provide access to high-quality arts and humanities experiences for all District of Columbia residents;
- Stimulate the creative economy through investments in local arts organizations;



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- Ensure organizational sustainability for arts and humanities organizations so that they may contribute to the District of Columbia's diverse cultural landscape; and
- Build a diverse network of UPSTART program executive leaders to facilitate information sharing and peer learning.

UPSTART Program Funding Amounts and Special Requirements

In FY 2012, applicants will no longer be divided into budget-based cohorts. Instead, if an organization is selected to participate, the total amount of funding will be determined after completing an organizational assessment conducted by the UPSTART program consultants. The UPSTART program consultants, in consultation with DCCAH staff members, will make a recommendation to the Commission Board for a final project funding amount.

Funding may only be used to cover costs associated with capacity building projects or new programming efforts that are related to the work plan developed in collaboration with the UPSTART consultants. Funding may not be used to cover salary support.

Up to 30% of the total grant award may be used to support the establishment of an operating reserve fund for purposes related to the long-term sustainability of the organization. The reserve fund requires a 1:1 cash match within six months of the date of the grant award. The match requirement is designed to help grantees leverage UPSTART funds to attract new donors and increase giving levels of current donors. Neither in-kind services nor other DCCAH funding may be used to satisfy the matching requirement. Organizations requesting reserve funds must present evidence of clearly articulated policies about the management of the reserve that have been formulated and ratified by the organization's Board of Directors and staff by the end of the UPSTART grant period.

All funds must be spent within the DC Commission's FY 2012, which begins on October 1, 2011 and ends on September 30, 2012.

To be eligible to apply, the executive director or designated representative **must attend** one of the following grant preparation workshops. Reservations are not required.

Monday, July 25, 2011 6:00 PM – 7:30 PM	DC Commission on the Arts and Humanities Conference Center 1371 Harvard Street NW, Washington, DC 20009
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Wednesday, August 3, 2011 1:00 PM – 2:30 PM	DC Commission on the Arts and Humanities Conference Center 1371 Harvard Street NW, Washington, DC 20009
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Eligibility Requirements

Organizations may apply if they meet all of the following eligibility requirements at the time of application:

- **UPSTART applicants must meet all of the following:**



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- Current organizational budget between \$100,000 and \$1.5 million;
 - Employ at least one full-time, salaried staff member; and
 - Attend one UPSTART workshop on either July 25th or August 3rd, 2011.
- Incorporated as a nonprofit, with a designated tax exempt status under section 501(c)(3) of the United States Internal Revenue Code, as well as in the District of Columbia;
- Principal offices are located in the District of Columbia, as demonstrated by the address on the organization's official 990 document, information on the website, letterhead and printed materials. PO Boxes may not be used as a primary business address. Please do not use the address of a board member or volunteer;
- A demonstrated commitment to provide arts and humanities to the residents of Washington, DC. At least fifty-one percent (51%) of scheduled arts activities occur within the District of Columbia; and
- Applicants must be in good standing with DCCAH. Applicants with incomplete or delinquent reports, in any funding program, as of October 15, 2011, are ineligible to receive an additional award from DCCAH for a full grant period. These reports are monitoring requirements are allow DCCAH to monitor grant funds. They include documents such as such as interim and final reports.

All applicants must have the capacity to absorb additional responsibilities from UPSTART implementation. Applicants **MUST** employ one or more full-time paid professional staff, compensated at levels consistent with position responsibilities.

Applicants must ensure active participation from the Board of Directors. The Board of Directors must be engaged and committed and appropriate to the organization's size, focus and mission, reflective of the audience diversity and knowledgeable of the community being served.

Funds may not be used to support: salaries for new or existing positions, general operating expenses, purchase of land or property, funding of pre-existing expenses, debts or obligations incurred by the organization. Funds cannot be used for food, tuition or scholarships, or granted directly to colleges, universities, service organizations, foreign governments and DC government agencies, including the DC Public Schools.

Application Process

DCCAH utilizes an online grant application website called [Zoom Grants](#). All applicants **MUST SUBMIT** the application online via Zoom Grants by 11:59PM on the deadline date. **DCCAH will not accept mailed, emailed or hand-delivered copies of grant applications.**

Grant Application Procedure

1. Download the [Classification Sheet](#) on the DCCAH website. Select which classification(s) best describes the applicant and the grant request(s) for each of the five (5) classification categories: Institution Type, Applicant Discipline, Project Discipline, Artist Type, and Type of Activity. Make note of the number and name of each selection. All applicants are required to provide this information within the application for their application to be considered by the Advisory Review Panel;



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2. Visit the Guide to Grants page and determine the possible grant program(s) to apply;
3. Review the grant guidelines thoroughly;
4. Go to the [Apply for Grants](#) page and register with Zoom Grants, DCCAH's online grant application website. Zoom Grants provides a step-by-step tutorial on how to submit your application [here](#);
5. Once fully registered, select the grant program(s) that you will apply for and complete the application questions and fill in data regarding the project budget;
6. Upload the required documents and supplementary material;
7. Upload the required work sample(s);
8. Submit your application by 11:59pm on the grant program's deadline date;

For technical assistance, contact Zoom Grants toll free at 866-323-5404.

The application process is competitive and subject to the availability of funds. Applicants may not request or receive funding for the same project activities through more than one Commission grant program or grant category.

Applicants are fully responsible for the content of their application packages. An automated confirmation of an application's submission does not guarantee an application's eligibility nor recommendation for funding by the Advisory Review Panel. DCCAH staff cannot make corrections to applications on behalf of applicants. Incomplete applications may not be forwarded to the Advisory Review Panel for review.

Technical Assistance and Workshops

DCCAH staff members are available to help develop grant applications through group and individual assistance. Between July 11th and August 19th, DCCAH will conduct free workshops for participants to learn useful information about the agency's funding opportunities and how to submit a successful grant application. More information about the dates and times of these workshops can be found at [Grant Writing Assistance](#). In addition, DCCAH staff members are available for individual assistance by appointment only. Contact information for the DCCAH staff members is available [Who We Are – DCCAH Staff](#).

Review Process

Applications are reviewed according to detailed evaluation criteria specific to the grant program. These criteria are listed on page 7. A volunteer Advisory Panel is comprised of arts and humanities professionals independent of the Commission. The panel scores applications using the criteria and makes recommendations to the Commission Board. The Commission Board reviews panel



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recommendations and makes all final funding determinations. Funding decisions are not determined by DCCAH staff.

For more information regarding the grant review process or the Advisory Panelist Nomination form, please visit the [Guide to Grants](#) on the DCCAH website.

Funding Restrictions

Individuals are not restricted from receiving funds from multiple grant programs; however, organizations have restrictions involving the following three grant programs: **Arts Education Program, Festivals and City Arts Projects; and Grants-in-Aid.**

An applicant is not restricted from receiving additional grant awards from any other grant program(s).

Notification and Payment

Applicants will be notified in writing of their application status after November 15, 2011. This notification may consist of a grant package, letter of ineligibility, or letter of denial. The grant package will contain an unexecuted grant agreement, payment request form(s), Attachments A-D (including detailed scopes of work for each grant awarded), and a W-9 tax form. The **original copy** of the grant agreement and all associated documents must be completed and returned to DCCAH by the dates noted in Attachment D – Grant Payment Schedule. This attachment states when grant documents are due to be returned to DCCAH and when the grant recipient is eligible to receive payment. Be sure to make a copy of the entire contents of the grant package for your own records.

Please note that the date of payment disbursement is subject to change depending on the availability of funds. *The date eligible for payment does not ensure the date of payment; it provides a general timeframe.* DCCAH works with other DC government agencies to pay grant recipients in a timely manner but DCCAH does not create or distribute payments onsite. To expedite the payment process, DCCAH is allowing FY12 grant recipients to sign up for direct deposit. For more information on Direct Deposit, visit [Manage Grant Award](#) on our website.

DCCAH reserves the right to rescind any and all grant awards for non-compliance with grant guidelines, policies and regulations. Grant payments will not be processed for any grantee that has incomplete or delinquent reports from a previous grant period.

Performance Monitoring

All grant recipients are subject to monitoring requirements in the [City-Wide Grants Manual and Sourcebook](#) from the Office of the City Administrator. Activities funded by DCCAH will be monitored and evaluated by staff to assure compliance with all aspects of the District of Columbia's requirements, which may include evaluating allowable costs, meeting project benchmarks, providing proof of expenditures, etc.



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UPSTART participants must complete interim and final work plan and budget updates and participate in periodic email correspondence and phone calls to keep the UPSTART consultants informed about status of project implementation through the grant period.

All grantees must complete a final report by October 15, 2012. Grantees are required to document payment of all expenses paid by grant funds as well as the required match. Final report forms are available online through the Manage Grant Award link on DCCA's website [Manage Grant Award](#). All grantees are responsible for reporting grant awards as income on federal and local tax returns (990s) and are strongly encouraged to consult with the IRS.

FY2011 grantees with unfulfilled reporting, in any funding program, as of October 15, 2011, are ineligible to receive an additional award from DCCA for a full grant period. These reports are monitoring requirements are allow DCCA to monitor grant funds. They included documents such as such as interim and final reports.

Contact Information

For more information regarding DCCA's grant programs, or clarification about accessibility requirements, work sample submissions and the grant making process, please refer to the [Guide to Grants](#). Additional questions about the UPSTART Program can be referred to Carlyn Madden, Arts Education Manager, at carlyn.madden@dc.gov or 202-724-5613.



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UPSTART Program

Review Criteria

Artistic Content

- The applicant provides a substantial level of artistic activities to DC-based audiences;
- The applicant's work sample and support materials (brochures, articles, letters of support, etc.) demonstrate high standards of artistic excellence within the chosen discipline(s);
- The related goals and schedule of planned activities are feasible; and
- The applicant presents effective evaluation methods specific to the grant request, which are used to improve future activities and services.

Community Engagement and Impact

- Applicant clearly defines the target audience(s), including the DC target audience and provides support for their selection;
- Varied and appropriate marketing methods are used to target the target audience;
- Applicant partners with similar or complementary organizations to leverage resources for the described activities; and
- The proposed activities and services are available to people with disabilities.

Organizational Capacity and Sustainability

- The organization has made efforts to conduct a strategic plan, or if not, understands the benefits of strategic planning;
- The organization demonstrates proper oversight with a committed Board of Directors with well-rounded expertise;
- The applicant is sufficiently stable, in terms of arts expertise, organizational capacity, financial status, to implement the proposed request;
- The applicant demonstrates the internal capacity to administer the grant and has appropriate financial monitoring systems in place to track expenditures;
- The applicant's budget information is detailed, accurate, feasible, and directly related to the grant request. All items funded with grant dollars are eligible expenses under the grant;
- The applicant clearly demonstrates ability to attract the financial support necessary to sustain the activities and match required funds, if applicable.

Overall

- The organization's employees and Board of Directors' had candid and clear feedback regarding the organization's strengths and challenges;
- The organization's employees and Board of Directors clearly described possible outcomes from the UPSTART process;
- The applicant provides a clear explanation of the grant request and intended outcomes;



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- The grant request aligns with and supports the applicant's mission;
- The applicant has a demonstrated commitment to providing similar programs and/or services to residents of Washington, DC; and
- The application, grant request and intended outcomes support the goals of the UPSTART program.